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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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EXAMINER

GEBRESILASSIE, KIBROM K

ART UNIT

PAPER NUMBER

2128

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PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 09/995,421	<b>Applicant(s)</b> CHUNG ET AL.	
	<b>Examiner</b> KIBROM K. GEBRESILASSIE	<b>Art Unit</b> 2128	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 22 September 2008.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1,3-10,12-19,21-28,30-32,34 and 35 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1,3-10,12-19,21-28,30-32,34 and 35 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All    b) ☐ Some \*    c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)          | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

### DETAILED ACTION

1. This communication is responsive to amended application filed on 09/11/2008.
2. Claims 1, 3-10, 12-19, 21-28, 30-32, and 34-35 are presented for examination.

### *Response to Arguments*

3. Applicants are thanked for amendment/Remarks.
4. Applicant's argument relating to art rejection is not persuasive and therefore the rejection is **maintained**.
  - a. Applicants argued that Chung et al does not include discussion directed to the axis of rotation.

In response, it is true Chung et al does not explicitly discussed an axis of rotation. However, this limitation, axis of rotation, is an inherent property of the "rotating magnets" of the prior art as recited below.

For example, Chung et al teaches:

**model, and the feature scale profile model [3]. The plasma equipment model is based on the HPEM [4] and the magnetic field is solved using FEM(Finite Element Method) based VectorFields to accurately take account the magnetic fields arising from the rotating magnets. The unified RF plasma**

It is well known that if there are rotating magnets, there must be an axis of rotation in which the magnets rotate. Without having an axis of rotation, the magnets could not rotate.

b. Applicants argued that the prior art of reference fails to disclose *wherein the plurality of planes corresponding to each of the plurality of cross sections*.

In response, this limitation is analogous to *several 2-dimensional cross sections* of the Chung et al teachings (See: pg. 128, left side column, lines 1-4). It is well known that 2-dimensional cross section is representing a plane.

Therefore, several 2-dimensional cross sections are equivalent to the plurality of planes corresponding to each of the plurality of cross sections of the claimed invention.

c. Applicants argued:

Since Chung does not expressly provide any basis to select the cross-section, and more particularly, in the manner recited in Claim 1, there are many possibilities regarding the selection of cross-sections in a variety of arbitrary ways. For example, since Chung does not provide any basis for selecting the cross-sections, they may be selected as normal to and/or parallel with the axis of rotation.

In response to applicant's argument that the references fail to show certain features of applicant's invention, it is noted that the features upon which applicant relies (i.e., selecting the cross-section...selected as normal to and/or parallel with the axis of rotation) are not recited in the rejected claim(s). Although the claims are interpreted in light of the specification, limitations from the specification are not read into the claims. See *In re Van Geuns*, 988 F.2d 1181, 26 USPQ2d 1057 (Fed. Cir. 1993).

Regardless, as applicants admitted, there are many possibilities regarding the selection of cross section. Therefore, applicant's limitation of "selecting the

cross-section" could be inherent to... *the plasma parameters are computed at several 2-dimensional cross sections with a distinctive magnetic field distribution....* (See: pg. 128, left side column, lines 1-4). In order to compute at several 2-dimensional cross sections, a selection should be made.

Overall, the recited limitation, wherein each of the plurality of cross-sections includes the axis of rotation that lies in a plurality of planes corresponding to each of the plurality of cross-sections, is inherent to...*VectorFields to accurately take account the magnetic fields arising from the rotating magnets* (i.e. inherent to axis of rotation) (See: pg. 127, right side column, lines 4-8)...*the plasma parameters are computed at several 2-dimensional cross sections* (i.e. equivalent to plurality of planes) with a *distinction magnetic field distribution...* (See: pg. 128, left side column, lines 1-4).

### ***Claim Rejections - 35 USC § 102***

5. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

6. Claims 1, 3, 5-10, 12, 14-19, 21, 23-28, 30-32, and 34-35 are rejected under 35 U.S.C. 102(a) as being anticipated by W. Y. Chung, J. J. Oh, T. K. Kim, J. K. Shin, K. Seo, Y. K. Park, and J. T. Kong, "Integrated Simulation of Equipment and Topography for Plasma Etching in the DRM Reactor," 2000 IEEE.

Art Unit: 2128

7. As per Claim 1, Chung et al discloses a method of estimating characteristics of a plasma contained in a reaction chamber of a plasma reactor including a plurality of magnets that move with respect to the reaction chamber (See: Abstract), the method comprising:

obtaining configuration and process condition data for the reaction chamber (such as *process condition (Pressure, Power, Gas composition) Geometry of Fig. 1*), the data comprising a 3-dimensional distribution of a static electromagnetic field induced by the plurality of magnets in the reaction chamber (such as *...magnetic fields induced ....are 3-dimensionally computed using a commercial software...*; See: page 127, right side column, lines 19-23);

computing plasma characteristics for each of a plurality of cross-sections of the reaction chamber from the data (See: page 128, left side column, paragraph one and two), the plurality of cross-sections being selected from the 3-dimensional distribution of the static electromagnetic field (such as *...the plasma parameters are computed at several 2-dimensional cross-sections with a distinctive magnetic field distribution...*; See: page 128, left side column, lines 1-3); and

generating a generalize model of the plasma from the computed plasma characteristics for the plurality of cross-sections (such as *...overall etching characteristics...*; See: page 128, left side column, paragraph one and two; Fig. 1 last step),

Chung et al discloses a plurality of rotating magnets (such as *...DRM reactor has...magnet structure around the reaction chamber, which rotates in tens of rpm to*

*improve the uniformity.... (See: page 127 "Introduction" second paragraph)...VectorFields to accurately take account the magnetic fields arising from the rotating magnets (See: page 127 right side column, lines 2-8).*

However, Chung et al does not explicitly disclose an axis of rotation, and wherein each of the plurality of cross-sections includes the axis of rotation that lies in a plurality of planes corresponding to each of the plurality of cross-sections. However, the recited limitation, wherein each of the plurality of cross-sections includes the axis of rotation that lies in a plurality of planes corresponding to each of the plurality of cross-sections, is inherent to...*VectorFields to accurately take account the magnetic fields arising from **the rotating magnets*** (i.e. inherent to axis of rotation) (See: pg. 127, right side column, lines 4-8)...*the plasma parameters are computed at **several 2-dimensional cross sections*** (i.e. equivalent to plurality of planes) with a distinction magnetic field distribution...(See: pg. 128, left side column, lines 1-4).

8. As per Claim 2, Canceled.

9. As per Claim 3, Chung et al discloses a method according to Claim 1, wherein computing plasma characteristics for each of a plurality of cross-sections in the reaction chamber comprises performing the following actions for each of the cross-sections:

computing electron density and temperature for the cross-section using an iterative Monte Carlo computational procedure (See: Page 128, left side column, lines 10-12); and

computing ion and neutral species transmission phenomena for the cross-section from a plasma dynamics simulation (such as ...*Ion Angular Distribution, Ion Energy Distribution in Kinetic Simulation*; See: Fig. 1 Step 4).

10. As per Claim 5, Chung et al discloses a method wherein computing plasma characteristics for each of a plurality of cross-sections in the reaction chamber comprises computing the plasma characteristics for each plurality of cross-sections from at least one of a plurality of determined static magnetic field direction, shape information for the reaction chamber, and plasma collision reaction data (See: Page 128, left side column, lines 1-3).

11. As per Claim 6, Chung et al discloses generating a generalized model of the plasma from the computed plasma characteristics for the plurality of cross-sections comprises computing at least one of an electron density distribution, a temperature distribution, a distribution of ion species, a distribution of neutral species, and a flux incidence (such as...*Ion, Radical Fluxes, E-field Density, Ion Angular Distribution, Ion Energy Distribution...*; See: Fig. 1 and Fig. 4).

12. As per Claim 7, Chung et al discloses generating a generalized model of the plasma from the computed plasma characteristics for the plurality of cross-sections comprises averaging the computed plasma characteristics for each of the plurality of cross-sections (such as...*and overall etching characteristics are obtained by averaging over these several 2-D calculations...*; See: page 128, left side column, line 3).



Art Unit: 2128

13. As per Claim 8, Chung et al discloses estimating an etching rate for a wafer positioned in the chamber from the generalized model of the plasma (such as *...the uniformity of the etch rate and profile evolution are obtained in terms of plasma process conditions....*; See: Page 128, left side column, Second Paragraph).

14. As per Claim 9, Chung et al discloses the plasma reactor comprises a dipole ring magnet (DRM) plasma reactor (such as *DRM Reactor*; See: Abstract).

15. As per claim 10, the instant claims recite substantially same limitation as the above rejected claim 1, and therefore rejected under the same rationale.

16. As per claim 11, Canceled.

17. As per claims 12, and 14-19, the instant claims recite substantially same limitation as the above rejected claims 1, 3, and 5-9, and therefore rejected under the same rationale.

18. As per claim 20, Canceled.

19. As per Claims 21, 23-27, the instant claims recite substantially same limitation as the above rejected claims 3, and 5-9, and therefore rejected under the same rationale.

20. As per Claim 28, Chung et al discloses a method of simulating plasma in a plasma apparatus having a plasma reactor and a plurality of paramagnet magnets which are asymmetrically arranged and rotate around plasma reactor at predetermined speed, comprising the steps of:

(a) inputting shape and process conditions (such as *...profiles in terms of the equipment operating parameters such as the gas composition ratio and*

Art Unit: 2128

*power....*; See: Abstract; Fig. 1, Step one) and inputting plasma collision reaction data (such as... “contact profile”; Abstract);

(b) 3-dimensionally computing static magnetic fields induced by the permanent magnets (such as...*the magnetic field induced by complex permanent magnets of the DRM equipment are 3-dimensionally computed using a commercial software, VectorFields...*; See: Page 127, right side column, Under a title “The Simulation Flow and Etch Model”; Fig. 1 Step two);

(c) computing electron density and temperature and interpreting the transmission phenomenon of ion and neutral species using the data of the steps (a) and (b) until they are converged (such as...*good agreement of the calculated and measured values and distribution...*; See: Page 127, right side column, Under a title “The Simulation Flow and Etch Model” );

(d) obtaining overall plasma characteristics using the converged values (such as...*and overall etching characteristics are obtained...*; See: Page 128, left side column, line 3); and wherein the step(c) comprises plasma simulation at 2-dimensional cross-sections for cross-sectional magnetic field distribution in a characteristics magnetic field direction (such as...*based on VectorFields to accurately take account the magnetic fields arising from the rotating magnets....*; See: page 127, right side column, lines 4-8).

Art Unit: 2128

Chung et al discloses a 2-dimensional plasma simulation is performed for a plurality of 2-dimensional cross-sections (See: Page 128, left side column, first and second paragraph).

However, Chung et al does not explicitly disclose an axis of rotation, and wherein each of the plurality of cross-sections includes the axis of rotation that lies in a plurality of planes corresponding to each of the plurality of cross-sections. However, the recited limitation, wherein each of the plurality of cross-sections includes the axis of rotation that lies in a plurality of planes corresponding to each of the plurality of cross-sections, is inherent to...*VectorFields to accurately take account the magnetic fields arising from **the rotating magnets*** (i.e. inherent to axis of rotation) (See: pg. 127, right side column, lines 4-8)...*the plasma parameters are computed at **several 2-dimensional cross sections*** (i.e. equivalent to plurality of planes) with a distinction magnetic field distribution...(See: pg. 128, left side column, lines 1-4).

21. As per Claim 29, Canceled.

22. As per Claim 30, Chung et al discloses 2-dimensional plasma simulation obtains convergence values for the respective cross-sections, and averages them to obtain plasma characteristics (such as...*and overall etching characteristics are obtained by averaging over these several 2-D calculations...*;See: page 128, left side column, line 3).

Art Unit: 2128

23. As per Claims 31 and 32, the instant claims recite substantially same limitation as the above rejected claims 9, and 28, and therefore rejected under the same rationale.

24. As per Claim 33, Canceled.

25. As per claims 34, and 35, the instant claims recite substantially same limitation as the above rejected claims 9, and 30, and therefore rejected under the same rationale.

***Claim Rejections - 35 USC § 103***

26. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

27. Claims 4, 13, and 22 are rejected under 35 U.S.C. 103(a) as being unpatentable over W. Y. Chung, J. J. Oh, T. K. Kim, J. K. Shin, K. Seo, Y. K. Park, and J. T. Kong, "Integrated Simulation of Equipment and Topography for Plasma Etching in the DRM

Art Unit: 2128

Reactor," 2000 IEEE, as applied to claims 1, 3, 5-10, 12, 14-19, 21, 23-28, 30-32, and 34-35 above, and further in view of P.L.G. Ventzek, R. J. Hoekstra, and M. J. Kushner, "Two-dimensional modeling of high plasma density inductively coupled sources for materials processing," 1994 American Vacuum Society.

28. As per Claim 4, Although, Chung et al discloses the ion and neutral species transmission phenomena for the cross-section from a plasma dynamics simulation such as obtaining ion angular distribution, ion energy distribution in kinetic simulation using a Monte Carlo simulation (See: Fig. 1 Step 4).

Chung et al fails expressly to disclose computing solutions to a continuity equation and Poisson's equation for the ion and neutral species.

Ventzek discloses computing solutions to a continuity equation and Poisson's equation for the ion and neutral species such as solving the continuity equations and Poisson's equation for all charges and neutral species in Fluid Chemical Kinetic Simulation (See: Page 464, Right side column, lines 9-11 and Equation 12 and Equation 13).

It would have been obvious to one of ordinary skill in the art at the time of the invention was made to combine the teachings of Ventzek et al with Chung et al because both references are clearly concerned with etching process of semiconductor materials. The motivation for doing so would have been more convenient to solve the Poisson's equation for a future time using a prediction for the charge densities based on the present values of their time derivatives to overcome the limitation imposed by dielectric relaxation time (See: Page 465, left side column, lines 27-31).

Art Unit: 2128

29. As per Claims 13 and 22, the instant claims recite substantially same limitation as the above rejected claim 4, and therefore rejected under the same rationale.

***Conclusion***

30. All Claims are rejected.

31. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

32. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

For example,

**A Two-Dimensional Etching Profile Simulator:  
ESPRIT**

SHUICHI YAMAMOTO, TOKUO KURE, MASANORI OHGO, TOSHIHARU MATSUZAMA,  
SHIN'ICHI TACHI, AND HIDEO SUNAMI

teaches:

Abstract--A two-dimensional etching simulator named ESPRIT<sup>1</sup> has been developed to simulate LSI patterning. The etching simulator includes isotropic and anisotropic components. Its calculation method is based on the string model. ESPRIT can simulate etched profiles for multilayers with different etching rates and calculate side etching using sloped incidental anisotropic components. In addition, location correction, loop elimination, point insertion, and point elimination are provided for stable and accurate calculations. Simulated profiles coincide well with those from experiments in terms of relationship between the groove width and etched depth. ESPRIT can support to design LSI patterning process.

### ***Examiner Remarks***

33. Examiner's Note: **Examiner has cited particular columns and line numbers in the references applied to the claims above for the convenience of the applicant.**

Although the specified citations are representative of the teachings of the art and are applied to specific limitations within the individual claim, other passages and figures may apply as well. **It is respectfully requested from the applicant in preparing responses, to fully consider the references in their entirety as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior art or disclosed by the Examiner.**

### ***Examiner Request***

34. **In the case of amending the claimed invention, Applicant is respectfully requested to indicate the portion(s) of the specification which dictate(s) the structure relied on for proper interpretation and also to verify and ascertain the metes and bounds of the claimed invention.**

**MPEP states:**

Art Unit: 2128

"...with respect to newly added or amended claims, applicant should show support in the original disclosure for the new or amended claims. See MPEP § 714.02 and § 2163.06."

### ***Communications***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Kibrom K. Gebresilassie whose telephone number is 571-272-8571. The examiner can normally be reached on 8:00 am - 4:30 pm Monday to Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kamini Shah can be reached on 571-272-2279. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

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